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1. Purpose and Scope. This chapter describes the procedures for sending original case files from a DO to the Final Adjudication Branch (FAB) at the National Office or to another DO and processing them on return. It also describes the procedures for sending the contents of a case file to NIOSH or a medical examiner.

2. Processing Transfers and Loans.

a. Mail and File staff process all hard copy case files to be temporarily or permanently transferred among the various offices of the OWCP.

b. Chief of Operations, or designee, transfers electronic records on case files that are to be temporarily or permanently transferred.

3. Temporary Transfers (Loans).

a. Cases Sent Out of the Office. Case files (hard copies) are sometimes mailed to the FAB in Washington, DC for oral hearings or reviews of the record. Some cases are hand-carried outside the DO for investigations or meetings.

(1) Jacket and Summary Sheet. If a case file is being mailed to the FAB in Washington DC, the entire file (all Parts, including the case jackets) should be sent. The CE should complete a transfer out notice and attach it to the outside of the jacket. This will annotate the fact that the case is on loan from a specific office to another specified office and is to be returned.

(2) Mailing the Case. The case may be sent either by the designated express mail service or through the U.S. Postal Service (USPS). If the latter is used, the case should be sent by certified mail. An envelope with a business reply address label and return address should be furnished for the return of the file.

3. Temporary Transfers (Loans). (Continued)

(3) Computer Location. The location of individual case files is tracked through ECMS using specific location codes (Exhibit 1). Maintaining accurate location information is important for efficiency in the DO. Therefore, each time a file is moved, ECMS should be updated to reveal the current location of the case file.

(4) Hand-Carrying the Case. If a case is hand-carried, a memorandum should be placed in a dummy folder identifying the location of the case file.

(5) Mail. If mail is received for a case which was loaned or temporarily transferred to FAB, the mail should be forwarded to FAB. If mail is received for a case that was hand-carried out of the DO, the mail should be placed in the dummy folder.

b. Procedures Prior to Loan.

(1) The District Director or designee with the authority to loan cases should determine whether:

(a) The case is in posture for loan to FAB (i.e., a recommended decision was issued and is accompanied with a notice of review/appeal rights.)

(b) Within reason, all pending actions have been taken and all correspondence have been answered.

(c) Mail is filed down on the spindle in order of receipt.

(d) The case file jacket is in good condition.

(2) The Chief of Operations or designee will change the responsible DO and case file location in ECMS.

3. Temporary Transfers (Loans). (Continued)

(3) The Mail and File staff will change the location code on the jacket to reflect the transfer to FAB and send the file as discussed at 3 a (2).

c. Return of the Case File by FAB.

(1) When a case is in posture for return from the FAB, the FAB designee will change the DO and location code in ECMS.

(2) The Mail and File staff will change the location code on the case jacket to reflect the transfer to the DO and send the file as discussed at 3 a (2).

4. Permanent Transfers.

a. Cases Transferred Out of the Office. All Section 5 RECA claims are handled in Denver DO and should be transferred there. Any Section 4 RECA claims are to be transferred to the DO closest to the location where the employee last work for general processing.

(1) Jacket and Summary Sheet. When the entire case file is being transferred to another district office, the file (all parts, including the case jacket) should be sent.

(2) ECMS. The electronic case is transferred by the Chief of Operations.

(3) Mailing the Case. The hard copy case may be sent either by the designated express mail service or through the U.S. Postal Service (USPS). If the latter is used, the case should be sent by certified mail.

(4) Mail. If mail is received for the transferred hardcopy case, the mail should be forwarded to the new DO.

4. Permanent Transfers. (Continued)b. Procedures for Permanent Transfers.

(1) Preparation by the CE. When the CE determines that a case should be transferred, the CE will:

(a) Prepare transfer form for supervisor's signature; and

(b) Prepare transfer letter for supervisor's signature notifying the claimant and other interested parties of the transfer.

(2) Authorization by Supervisor. The supervisor will:

(a) Authorize the transfer form and sign the letter of notification of transfer.

(b) Ensure case is in posture for permanent transfer.

(c) All pending actions have been taken, correspondence answered, and mail filed down on the spindle.

(d) The case file jacket is in good condition.

(3) The Chief of Operations will log into the ECMS and transfer the electronic case.

(4) Transfers must be timely. The DO must transfer these cases within 20 days of the date of the initial action.

c. Delays in Permanent Transfers. In some instances a case file reviewed for permanent transfer is in posture for, or contains a Recommended Decision and must be transferred to the FAB in the National Office (NO). In this situation, the originating office should transfer the case to FAB. When all appropriate actions have been taken, FAB

4. Permanent Transfers. (Continued)

will transfer the case back to the originating office. If there are no remand actions to be taken, the DO may proceed with the permanent transfer. If there are remand actions, the DO may transfer the case to the appropriate DO upon completion of the actions stipulated in the remand order.

d. Receipt of File. When the hardcopy case file arrives in the DO, the Mail and File staff will deliver it to the DO designee and enter the correct office codes in ECMS.

5. Referring Case Records to NIOSH. As part of the dose reconstruction process, NIOSH must have access to the employee's medical and employment records. The entire case file should be copied and forwarded to NIOSH. See EEOICPA PM 2-500-7 for the case specific information that must be included in the referral package. The case file will remain in the D.O.

a. Case Records Sent Out of the Office.

(1) Use large FedEx boxes when possible as the boxes will be traceable.

(2) Include a summary sheet listing the case names and/or DOL tracking numbers contained in each box. On the summary sheet state that the cases are being referred to NIOSH for dose reconstruction. If any of the claims are more urgent than the others, they should be identified on the summary listing.

(3) Each week, send an e-mail to **ocas@cdc.gov** including the FedEx tracking number for each box shipped. If a shipment was not sent that week or was sent late, NIOSH would like to be informed. This notification will assist NIOSH with inventory control. Each DO should send cases on designated days based on the following weekly schedule.

5. Referring Case Records to NIOSH. (Continued)

WEEKLY SCHEDULE:

Tuesday:	Jacksonville	(Wednesday NIOSH receipt)
Wednesday:	Cleveland	(Thursday NIOSH receipt)
Thursday:	Denver	(Friday NIOSH receipt)
Friday:	Seattle	(Monday NIOSH receipt)

SHIPPING ADDRESS:

National Institute for Occupational Safety and Health
Office of Compensation Analysis and Support
Taft North Facility
1090 Tusculum
MS R-46
Cincinnati, OH 45226

NIOSH CONTACT:

Technical Information Specialist
NIOSH/OCAS
513-841-4147

6. Referring Cases to Medical Specialists. When the employee has been referred (or the records are to be reviewed) for a second opinion or referee examination, the medical records from the case file are copied and forwarded to the medical specialist. The case file remains in the office.

ECMS Case Location Codes

3-Character codes that identify physical location
of case file jacket

FIL	FILE
HR	HEARINGS AND REVIEW
CAA-CAJ	Claims unit A , stations A thru J
CBA-CBJ	Claims unit B , stations A thru J
CCA-CCJ	Claims unit C , stations A thru J
CDA-CDJ	Claims unit D , stations A thru J
CEA-CEJ	Claims unit E , stations A thru J
FCA-FCJ	FAB Cleveland, stations A thru J
FDA-FDJ	FAB Denver, stations A thru J
FJA-FJJ	FAB Jacksonville, stations A thru J
FSA-FSJ	FAB Seattle, stations A thru J
FNA-FNZ	FAB National, stations A thru Z
FN0-FN8	FAB National, station 0 thru 8
FN9	FAB National, Hdqtrs Payment Processing
XOC	Transferred Out by Cleveland
XOD	Transferred Out by Denver
XOJ	Transferred Out by Jacksonville
XOS	Transferred Out by Seattle
XOF	Transferred Out by FAB
XON	Transferred Out by NAT
XIC	Transferred In by Cleveland
XID	Transferred In by Denver
XIJ	Transferred In by Jacksonville
XIS	Transferred In by Seattle
XIF	Transferred In by FAB
XIN	Transferred In by NAT
F01-F09	FISCAL Location 1 thru 9
DD	District Director's Office
OPS	Chief of Operations' Office
TW	Tech Writer
TW1-TW2	Tech Writer 1 thru 2